

APPENDIX B - Corporate Risk Register summary risk status report

Risk Ref	Business Unit	Details	Current Risk Rating				Target
			08/16	11/16	02/17	06/17	Score
HFRS0007	Community Protection Hertfordshire Fire & Rescue	During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.	48	48	48	48	32
CSF0055	Children's Services	In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	32	32	32	32	32
ENV0104	Environment	In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios: - The ERF at Rye House does not proceed or is delayed - Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated. It may result in: - Increased costs to HCC	32	32	32	32	8
ENV0148	Environment	As a result of political changes and escalating costs there is a risk that the Croxley Rail Link scheme is cancelled, which may result in claims to the Council (liability is capped at £3m), difficulties in re-claiming HCC investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area.	n/i	n/i	n/i	32	16
HCS0010	Adult Care Services	Inability to attract an increased number of care-workers in line with the Health and Community Services Workforce Strategy leading to non-compliance with the Care Act 2014 duties and customer dissatisfaction and an increase in delayed discharges of care.	32	32	32	32	4
HCS0016	Adult Care Services	In the event of: - - Increased demand on health and social care services - Financial pressures in the health and social care sector There is a risk of: - Financial uncertainty leading to insufficient budget to meet the future demand for services; That the Better Care Fund (BCF) pooled budget may not be sufficient to meet future demand for services; the likelihood of budget overspend. [supersedes risks HCS0011 & HCS0012]	n/i	n/i	n/i	32	16
HCSCP0001	Adult Care Services Commissioning For People	In the event of the quality of care from internal and external HCS care providers becomes inadequate (due to for example a failure to properly assess the care and support needs of an individual), there is a risk that this may result in the death or severe abuse of a client	32	32	32	32	32

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HCSMH0002	Adult Care Services Mental Health	As a result of the 2014 Supreme Court ruling around Deprivation of Liberty Safeguards (DOLS) there is a risk that an inability to conduct best interest assessments within legal timeframes could lead to unlawful detention of people and potential legal and compensation challenges to HCC.	32	32	32	32	8
HCSOPD0011	Adult Care Services Older People And Physical Disabilities	In the event of: - - Commercial/contractual failure of care providers - Inability to attract an increased number of care workers There is a risk of being unable to provide sufficient and safe care for clients leading to a person continuing to live in an environment which is inappropriate, delays in discharging from hospital and the authority not fulfilling its statutory responsibility. [supersedes risks HCSOPD0006 & HCSOPD0001]	n/i	n/i	n/i	32	16
HR0021	Resources Human Resources	If we fail to retain, attract and recruit the right people (managers, officers and volunteers) and right skills and maintain engagement at all levels, there may be a significant impact on service delivery and major cost implications. [Formerly CSCE0007]	32	32	32	32	16
PROP0022	Resources Property	As a result of changes to the way in which development contributions will be collected from new developments through use of Community Infrastructure Levy (CIL) and Section 106 contributions, and the delay in introduction of the new arrangements across all district authorities there is a risk that there may be insufficient money to support infrastructure needs derived from new housing developments etc.[Formerly CSCE0023]	32	32	32	32	12
TEC0004	Resources Technology	In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber-attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss	16	16	32	32	16
COMS0002	Resources Communications	As a result of the increased number of HCC staff and members directly communicating with the public through social media, there is a risk that the organisation's reputation could be damaged through an inappropriate communication. [Formerly ENV0096]	12	12	24	24	12
CP0004	Community Protection	As a result of disruptive factors influencing the lives of people in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion.	24	24	24	24	16
CPRES0009	Community Protection Resilience	If there is insufficient preparation for increased frequency of extreme weather events resulting from climate change, then there might be negative impacts on service delivery, user access to service provision and to the reputation of the Council.	24	24	24	24	12

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CSF0070	Children's Services	In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the secondary expansion programme and/or schools required to meet demand in new housing developments may need to be met from the council's own resources having exhausted all other eventualities.	24	24	24	24	16
CSHF0016	Resources Finance	In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery.	n/i	n/i	24	24	16
HR0018	Resources Human Resources	In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children	24	24	24	24	16
IMP0002	Resources Improvement And Technology	A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate service provision and data security and/or failure of externally delivered services, which could lead to disruption of service delivery. [Formerly CSCE0019]	24	24	24	24	8
PROP0023	Resources Property	HCC has undertaken a review of how it disposes of its surplus land and property assets to establish how best to optimise capital receipts in a difficult market. As a result of the decision to develop these sites and assets through a new Strategic Joint Venture (SJV) Arrangement, there is a risk that this policy change may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan. (Replaces former risks PROP0020 and PROP0021)	n/i	n/i	n/i	24	8
ENV0142	Environment	Due to the threat of an increasing number of tree pests and diseases, in particular the imminent threat from Ash Dieback, there is a risk of a significant number of trees being affected which may result in significant unplanned costs, potential dangers to the public and/or service users, impacts on the landscape and loss of biodiversity.	40	40	20	20	20
AUDIT0001	Resources Audit (SIAS)	There is a risk that the Council experiences significant fraud	16	16	16	16	8

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CPRES0001	Community Protection Resilience	In the event of a failure of the Local Resilience forum to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi-agency response may not be fully effective (formerly SERMU0001)	16	16	16	16	16
CPRES0002	Community Protection Resilience	In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	16	16	16	16	16
CSHF0002	Resources Finance	There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	32	32	16	16	16
ENV0033	Environment	In the event of under investment there is a risk that road maintenance levels can not be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	16	16	16	16	8
HFRS0004	Community Protection Hertfordshire Fire & Rescue	In the event of a failure to meet national training requirements, poor operational performance from personnel who are not fully trained and competent in their role could lead to the death or serious injury of a firefighter.	16	16	16	16	16
HR0022	Resources Human Resources	If we fail to comply with safe staffing legislation and agreed HCC policy and practice there is a risk this could lead to a lack of protection for HCC service users (e.g. children and vulnerable adults) [Formerly CSCE0009]	16	16	16	16	16
PHD0014	Public Health	In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents	16	16	16	16	16
HR0023	Resources Human Resources	As a result of new legislation establishing an Apprenticeship Levy, there is a risk that should the County Council not take appropriate action to offset the levy and provide apprenticeship opportunities there may be financial and reputational consequences.	n/i	n/i	12	12	8

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IMP0001	Resources Improvement And Technology	There is a risk of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data, including (but not limited to) paper records/post, the electronic storage / transfer of personal data by email, fax or other technical means, and publication of data for Open Data purposes, which could lead to harm to clients, impact on HCC's reputation, incur legal action and have financial consequences (despite applying best practice there is always the possibility of human error) [Formerly CSCE0013]	12	12	12	12	8
ENV0030	Environment	In the event of a failure in road inspection and / or fault reporting procedures, there is a risk that the condition of our roads falls below expected standards, which results in injury to citizens and / or successful claims against HCC.	16	8	8	8	8
PROP0018	Resources Property	There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim.	12	12	12	8	8
		33	644	636	664	780	476